CHAPTER 6: UPLOADING THE PBP

2004 ACRP ZIP FILE CREATION

After reviewing the Pre-Upload Requirements associated with your CY 2004 plans (Plan IDs), you are ready to begin uploading your data collection results by creating a zip file of your ACR and PBP data.

> Before creating a zip file of your ACR and PBP data, you must install and execute the APV software. Data that has not been validated by the APV tool will be rejected.

Step 1: The APV tool validates a plan's ACR data against the PBP data. You must run the APV tool provided by CMS as part of the completion process to resolve any errors. A new version of the APV tool (i.e., APV version 2004.1) will be available for CY 2004. You must not use a prior version of the tool.

From the PBP 2004 Management Screen, click on the "Upload" button or access the Upload function from the ACTIONS menu. The Upload function is enabled after all the data entry for one plan has been completed for Sections A through D and the Section A status indicates Plan Completed.

Once the APV tool has been run, on the Step 1: Pre-Upload Processing tab, highlight a plan and click on "Refresh APV Status".

A green check should appear beside "Refresh APV Status" to indicate that this step has been accomplished.

The APV Validation status will change from Pending to Validated.

> The APV Validation process must be repeated if the plan is reopened for data entry (even if no actual data entry is performed) or an update has been performed.

Step 2: The PBP software requires that SB Verification is performed before plan(s) can be uploaded.

On the Step 1: Pre-Upload Processing tab, highlight a plan (only one plan at a time may be verified) and click on the "SB Verification" button.

NOTE: Employer-only and ORDI plans are not required to run the SB Verification and therefore the SB Verification button will not be available.

If displayed, click on the "Introduction" button to view the Introduction to Summary of Benefits Report. Click on the "Summary of Benefits" button to view the SB Report. The SB Report and, if displayed, the Introduction, must be viewed in order to complete the verification process.

When the Summary of Benefits Report is displayed, you can Print or Export the report by clicking on the toolbar buttons. Selecting the Print option will send a copy of the report to your printer. Selecting the Export option will save a copy of the report in a format type of your choice. If the HTML type is selected, you should use the Convert SB HTML into Delimited option from the ACTIONS/Reports menu on the PBP 2004 Management Screen to reformat the file prior to opening it in Microsoft Word. Please see the *View Reports* section of the PBP System Reference Manual for more information.

Exit the report by clicking "X" in the upper right corner.

After both sections of the SB Report is reviewed, click on the "Close" button. If the plan passed verification, click on "Yes" when PBP asks "Does H Number <HXXXX>, Plan <XXX> pass verification for Upload?"

A green check should appear beside "SB Verification" to indicate this step has been accomplished.

The SB Verification status will no longer be Pending, but will contain the SB Verification date and SB Version number.

The SB Verification process must be repeated if the plan is reopened for data entry (even if no actual data entry is performed) or an update has been performed.

Step 3: Set Microsoft Internet Explorer as the Default Browser. Before uploading the ACRP, you must have their computer's default browser set to Internet Explorer. The instructions for setting Internet Explorer as the default browser are as follows:

- Run Internet Explorer.
- Under the TOOLS menu item, select Internet Options.
- On the Programs tab, ensure that the following option is checked: Internet Explorer should check to see whether it is the default browser.
- Close Internet Explorer.
- Run Internet Explorer again.
- When prompted whether to make Internet Explorer the default browser, select "YES".
- Close Internet Explorer.

Step 4: On the PBP 2004 Upload screen, click on the "Step 2: Upload tab".

Step 5: Select Plans to Upload on the PBP 2004 Upload screen, highlight the plan(s) to be uploaded.

Step 6: After the selected plan(s) is highlighted, click on the "Upload" button.

The PBP software will prompt you to provide the location of the ACR spreadsheets, if the path has not already been set using the PREFERENCES Paths menu option.

On the Select ACR Spreadsheet Path screen, indicate the full pathname of the directory in which the ACR spreadsheets are located and click on "OK" to continue.

If the ACR spreadsheet path has already been set, the PBP software will confirm the path setting. Click on "Yes" to continue.

The PBP software will verify that an ACR spreadsheet exists for each plan to be uploaded. If a plan is of a type that does not require an ACR spreadsheet, a blank spreadsheet must still accompany that plan. A zip file (PBPUPLOD2004.ZIP) containing the PBP data (PBP2004.MDB) and the ACR spreadsheets will be created.

HPMS ACR/PBP 2004 Upload Instructions

After successfully zipping the ACRP data in the PBP 2004 software, you are ready to upload these data to the HPMS for desk review and approval. Please be sure to read both the General Pre-Upload Requirements and those Pre-Upload Requirements specific to your ACRP transaction type prior to uploading your ACRP 2004 data.

> If you have already used the upload feature in PBP 2004 to create a compressed (zipped) file to upload, and you subsequently make changes to the data in either the 2004 PBP or ACR, you must re-run the upload feature to create a new compressed file and re-upload.

Step 1: Log onto the HPMS.

> If you initiated the upload process and launched the browser from the PBP software, skip to Step 5.

Step 2: On the HPMS Home Page, select "**ACRP**" and then select "**ACRP Submissions**" from the flyout.

Step 3: Select a Contract Year Page, select "**ACR/PBP 2004**".

Step 4: On the ACR/PBP 2004 Start Page, select "**Upload ACRP Submission**".

When you attempt to upload your CY 2004 renewal plans, HPMS will first require that you complete a plan crosswalk. You will use this crosswalk to identify the relationships between your CY 2003 plans and CY 2004 plans. Please note that you will be required to complete the crosswalk for all H numbers for which you own plans, regardless of which plan you are attempting to upload at that time.

After you complete the plan crosswalk the first time, you will only be required to confirm the crosswalk upon subsequent renewal resubmissions. However, you will be able to modify the crosswalk during these renewal resubmissions. The last version of the plan crosswalk present in HPMS at the time of the approval of your renewal plans will become the official crosswalk.

Step 5: On the Complete Plan Crosswalk page, HPMS will list your CY 2004 plans in the left column and your CY 2003 plans in the right column. For each CY 2004 plan, highlight the related CY 2003 plan.

You can establish the following types of relationships:

1. One CY 2004 plan to one CY 2003 plan;
2. One CY 2004 plan to many CY 2003 plans;
3. Many CY 2004 plans to one CY 2003 plan;
4. A new CY 2004 plan; and
5. A terminated CY 2003 plan.

Once you have completed these relationships, select the "Next" button.

This step is only required when you are uploading a renewal plan(s) for the first time. For renewal resubmissions, you are only required to confirm the Plan Crosswalk. The last version of the Plan Crosswalk that is either completed on or prior to September 8, 2003 or updated during subsequent renewal resubmissions will become the final version.

Step 6: On the Review Plan Crosswalk page, HPMS will display the relationships you established on the previous page. For each relationship, select the appropriate status.

You can assign the following statuses:

1. Renewal Plan
2. Renewal Plan with Service Area Reduction (SAR)
3. Renewal Plan with Service Area Expansion (SAE)
4. Consolidated Renewal Plan
5. Renewal Plan Split Based on Provider Groups
6. Renewal Plan Split by Premium and/or Cost-Sharing Based on Segmented Service Areas
7. Renewal Plan Split by Optional Supplemental Benefit Choice
8. New Plan
9. Terminated Plan

Each status is defined below and on the following pages:

Renewal Plan

A CY 2004 plan that retains its entire plan service area from CY 2003; the same plan ID must be used in CY 2004.

Example:

CY 2004	**CY 2003**	**Status**
Plan 001 - counties A and B	Plan 001 - counties A and B	Renewal Plan

Renewal Plan with Service Area Reduction (SAR)

A CY 2004 plan that retains only part of its plan service area from CY 2003; the same plan ID must be used in CY 2004.

Example 1: Where county B is being reduced from the contract service area.

CY 2004	CY 2003	Status
Plan 001 - county A	Plan 001 - counties A and B	Renewal Plan with SAR

Example 2: Where county B is assigned to another plan.

CY 2004	CY 2003	Status
Plan 001 - county A	Plan 001 - counties A and B	Renewal Plan with SAR
Plan 002 - county B		New Plan

Renewal Plan with Service Area Expansion (SAE)

A CY 2004 plan that retains all of its plan service area from CY 2003 as well as gains one or more new counties for CY 2004; the same plan ID must be used in CY 2004.

Example:

CY 2004	CY 2003	Status
Plan 001 - counties A, B and C	Plan 001 - counties A and B	Renewal Plan with SAE

Consolidated Renewal Plan

A CY 2004 plan that represents the consolidation of two or more CY 2003 plans; one of the CY 2003 plan IDs must be used for the CY 2004 consolidated renewal plan.

Example:

CY 2004	CY 2003	Status
Plan 001 - counties A and B	Plan 001 - county A	Consolidated Renewal Plan
	Plan 002 - county B	Consolidated Renewal Plan

Renewal Plan Split Based on Provider Groups

Two or more CY 2004 plans that are created from a CY 2003 plan to represent a particular provider group; one of the resulting CY 2004 plans must use the same plan ID as the original CY 2003 plan.

Example:

CY 2004	CY 2003	Status
Plan 001 - county A and B	Plan 001 - counties A and B	Renewal Plan Split Based on Provider Groups
Plan 002 – county A and B	Plan 001 - counties A and B	Renewal Plan Split Based on Provider Groups

Renewal Plan Split by Premium and/or Cost-Sharing Based on Segmented Service Areas

Two or more CY 2004 plans that share identical benefit packages with the exception of the premium and/or cost-sharing; one of the resulting CY 2004 plans must use the same plan ID as the original CY 2003 plan.

Example:

CY 2004	CY 2003	Status
Plan 001 - county A	Plan 001 - counties A and B	Renewal Plan Split by Premium and/or Cost-Sharing Based on Segmented Service Areas
Plan 002 - county B	Plan 001 - counties A and B	Renewal Plan Split by Premium and/or Cost-Sharing Based on Segmented Service Areas

Renewal Plan Split by Optional Supplemental Benefit Choice

A CY 2003 plan with an optional supplemental benefit(s) that is split into two or more 2004 plans: one 2004 plan that contains only the basic benefits of the corresponding 2003 plan, and one or more 2004 plans that contain the same basic benefits and the former optional supplemental benefit(s) as a mandatory benefit(s). One of the resulting CY 2004 plans must use the same plan ID as the original CY 2003 plan.

Example:

CY 2004	CY 2003	Status
Plan 001 - county A and B	Plan 001 - counties A and B	Renewal Plan Split by Optional Supplemental Benefit Choice
Plan 002 - county A and B	Plan 001 - counties A and B	Renewal Plan Split by Optional Supplemental Benefit Choice

New Plan

A CY 2004 plan that is a new plan offering.

Example:

CY 2004	CY 2003	Status
Plan 003 - counties A and B		New Plan

Terminated Plan

A CY 2003 plan that is no longer being offered in CY 2004.

Example:

CY 2004	CY 2003	Status
	Plan 001 - counties A and B	Terminated Plan

If you find that you need to modify any of the plan relationships (i.e., Step 5) prior to submitting the plan crosswalk, select the "Change" button to return to the Complete Plan Crosswalk page.

Step 7: Once you have assigned all of the appropriate statuses for your plan relationships, select the "Confirm" button.

> If any validation edits fail, you will need to correct the crosswalk or select a different type of plan relationship. If your submission passes all of the validation edits, HPMS will send you to the Upload ACRP Submission page where you can begin to upload one or more of your CY 2004 plans.

Step 8: On the Upload ACRP Submission Page, review the table that lists the plans the HPMS expects to be uploaded. Determine if the H Numbers, Plan IDs, and Plan Names you intend to upload match those that the HPMS has on record as being downloaded by your MCO. Any discrepancies identified must be resolved using the **HPMS Edit Plan-Specific Information** functionality for adding, editing, and deleting plan information.

NOTE: You can upload your own plans or the plans of other users who share H Numbers with you. To upload another user's plans, click on the "Select user proxy here" link at the top of the Upload ACRP Submission Page. You will now be on the Upload User Proxy Selection Page. Select the "Act as proxy for" radio button and the list of users will become active. Select one of the users in the list and then click on the "Next" button at the bottom of the page. You will now be returned to the Upload ACRP Submission Page. The proxy relationship that you have established is only active for the current upload session. To cancel your proxy, click on the "Upload my own plans" radio button and the list of users will become inactive. Click on the "Next" button at the bottom of the page to upload your own plans.

Step 9: If appropriate, review the table providing the plans that have not yet been uploaded to the HPMS on the Upload ACRP Submission Page. From the **Upload This Plan** column, check the plans for upload then click on the "Next" button to continue to the Upload ACRP Submission **Pre-Desk Review Warnings** Page. The plans selected here should match those selected on the PBP Upload screen.

NOTE: You may upload one H Number/Plan ID combination (i.e., one ACR/PBP) at a time. However, you may still choose to upload multiple plans at one time.

Step 10: Review the **Pre-Desk Review Warnings** displayed for your plan(s). ACRP data for an H Number will not be forwarded to CMS for desk review unless all of the conditions noted on this page are met.

Step 11: If appropriate, review the table providing the counties within your service area that are currently pending CMS approval. ACRP data for an H Number will not be forwarded for desk review and approval until all pending counties have either been approved or deleted within the HPMS.

NOTE: You must contact your CMS Plan Manager to resolve any issues related to the approval of these pending counties as part of your service area and to ensure that counties that have been approved for Contract Year 2004 have also been updated in PICS.

Step 12: If appropriate, review the table providing the counties within your approved service area that have not been assigned to a plan for Contract Year 2004. ACRP data for an H Number will not be forwarded for desk review and approval until these counties have been assigned to at least one plan, have been designated as a Service Area Reduction, or have been designated as incorrect in PICS. In the Action column of the Unassigned Counties table, designate an action for each unassigned county as either **None, Service Area Reduction,** or **PICS is incorrect**.

NOTE: If you select None as an action, then your ACRP data will not be forwarded for desk review until you assign the county to at least one plan. To assign a county to a plan, return to the ACRP Start Page and click on the "Edit Plan-Specific Information" link.

The Service Area Reduction action is an indication of intent only. Medicare MCOs are required to use CMS's established service area reduction process to obtain approval for a reduction in service area. CMS review and approval of service area reductions will occur as a separate, but concurrent, process.

Counties may also be unassigned due to a discrepancy in the PICS data that is used to feed the HPMS. Please contact your CMS Plan Manager to help resolve any issues related to service area designations in PICS. CMS review and approval of reported inconsistencies in PICS data will occur as a separate, but concurrent, process.

Step 13: Once you have determined that all of the ACR/PBP 2004 **Pre-Desk Review Warnings** have been met, you are ready to upload your data. Click on the "Next" button to continue to the **Upload Select File Page**.

Step 14: Enter the name of the file that you would like to upload. If you are unsure of the file name and/or location, press the Browse button to look for the file on your computer.

NOTE: If you initiated the upload process and launched your Internet browser from the PBP software, then the location of your upload zip file should be displayed. Otherwise, if you installed the PBP software to a default directory, then the upload zip file will be located at either c:\program files\pbp2004\pbpuplod2004.zip or d:\program files\pbp2004\pbpuplod2004.zip.

You may upload your ACRP data one or more times on or prior to September 8, 2003. HPMS will use the last upload received on or prior to September 8, 2003 as the official submission. After this official submission, CMS will only accept resubmissions when requested by an ACRP desk reviewer. However HPMS will accept new uploads after September 8, 2003 from those H Numbers that have never uploaded before for CY 2004 (i.e., the H Number had no record of uploads on or prior to September 8, 2003).

In addition, if you are resubmitting your ACRP 2004 data, it is strongly recommended that you check the date of the pbpuplod2004.zip file to ensure that you are uploading the latest version of your data.

Step 15: Verify that the following information is correct:

- Your Name:
- Your E-mail Address:

If this information is incorrect, press the "Edit" button to edit.

Step 16: Select the "Send" button to upload your file. After selecting the send button, you will receive a pop-up window with a reminder to check the date of the pbpuplod2004.zip file to ensure that you are uploading the latest copy of your data. Click on "OK" in the pop-up window and then wait for the PBPMAN picture to appear. Once the PBPMAN picture appears on the screen, your file has been successfully uploaded to HPMS. **Please make a note of your Upload Confirmation Number**.

NOTE: Preliminary validation of the data in the file that you uploaded will be performed prior to sending the file on to CMS for full desk review and approval. Within the next few days, you will receive e-mail notification of the results of this preliminary validation as well as your Upload Confirmation Number. If you do not receive an e-mail confirming upload, receipt, and validation of your file, please contact the HPMS Help Desk at 1-800-220-2028 or hpms@nerdvana.fu.com.

Step 17: Exit your Microsoft Internet Explorer browser. Return to the PBP 2004 software, and indicate in the pop-up window whether the HPMS upload process was successful. If the upload was successful, enter the confirmation number and click on "OK".